IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor	: David Ellis et al.	
Appln. No.:	09/977,050	
Filed	: October 12, 2001	Group Art Unit:
For	: INTEGRATIVE RISK MANAGEMENT SYSTEM AND METHOD	Examiner:
Docket No.:	S85.12-0001	

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION - FILING DATE GRANTED UNDER 37 C.F.R. §§ 1.53(f) AND 1.16(e)

Box Missing Parts
Commissioner for Patents
Washington, D.C. 20231

I HEREBY CERTIFY THAT THIS PAPER IS BEING SENT BY U.S. MAIL, FIRST CLASS, TO THE ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231, THIS
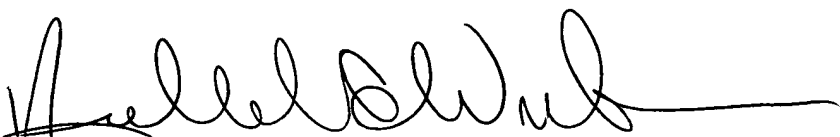
13 DAY OF May , 2002

PATENT ATTORNEY

Sir:

In response to the Notice to File Missing Parts of Application - Filing Date Granted dated November 14, 2001, Applicant encloses the following documents to complete the above-identified patent application filed October 12, 2001:

1. Our PTO Form 2038 in the amount of $435.00 to cover the filing fee and surcharge fee.

2. Our PTO Form 2038 in the amount of $720.00 to cover a Four-Month Extension of Time.

3. Two (2) separate Combined Declaration and Powers of Attorney executed by the inventor(s).

4. Fee Calculation Sheet.

5. Notice to File Missing Parts of Application-Filing Date Granted.

The Director is authorized to charge payment of any additional fees associated with this paper or credit any overpayment to Deposit Account No. 23-1123.

Respectfully submitted,

WESTMAN, CHAMPLIN & KELLY, P.A.

By: _____

Nickolas E. Westman, Reg. No. 20,147
Suite 1600 - International Centre
900 Second Avenue South
Minneapolis, Minnesota 55402-3319
Phone: (612) 334-3222 Fax: (612) 334-3312

NEW:lah

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named
Inventor   : David Ellis et al.

Appln. No.: 09/977,050
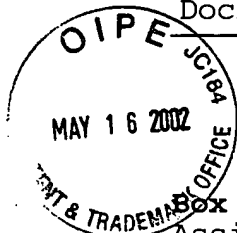
Filed   : October 12, 2001 | Group Art Unit:

For   : INTEGRATIVE RISK MANAGEMENT | Examiner:
              SYSTEM AND METHOD

Docket No.: S85.12-0001

CERTIFICATE OF IDENTITY OF APPLICATION

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C.   20231

I HEREBY CERTIFY THAT THIS PAPER IS BEING SENT BY U.S. MAIL, FIRST CLASS, TO THE ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231, THIS

___13___ DAY OF ___May___, 20_02_

_____
PATENT ATTORNEY

Sir:

The application submitted herewith and the Declaration executed by Applicants Ellis, Higgs, King, Izanev and Wogan on November 23, 2001, and applicant Teixeira on November 28, 2001, which is attached, is the same as the application copy mailed to the United States Patent and Trademark Office and assigned Application No. 09/977,050 filed October 12, 2001 for INTEGRATIVE RISK MANAGEMENT SYSTEM AND METHOD.

Respectfully submitted,

WESTMAN, CHAMPLIN & KELLY, P.A.

By: _____
    Nickolas E. Westman, Reg. No. 20,147
    Suite 1600 - International Centre
    900 Second Avenue South
    Minneapolis, Minnesota 55402-3319
    Phone:(612) 334-3222 Fax:(612) 334-3312

NEW:lah

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor	: David Ellis et al.	
Appln. No.:	09/977,050	
Filed	: October 12, 2001	Group Art Unit:
For	: INTEGRATIVE RISK MANAGEMENT SYSTEM AND METHOD	Examiner:
Docket No.:	S85.12-0001	

CERTIFICATE OF IDENTITY OF APPLICATION

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Assistant Commissioner for Patents
Washington, D.C.   20231

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_13_ DAY OF _May_ _20O2_

_____
PATENT ATTORNEY

Sir:

The application submitted herewith and the Declaration executed by the applicant Weiner on April 11, 2002, which is attached, is the same as the application copy mailed to the United States Patent and Trademark Office and assigned Application No. 09/977,050 filed October 12, 2001 for INTEGRATIVE RISK MANAGEMENT SYSTEM AND METHOD.

Respectfully submitted,

WESTMAN, CHAMPLIN & KELLY, P.A.

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Nickolas E. Westman, Reg. No. 20,147
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900 Second Avenue South
Minneapolis, Minnesota 55402-3319
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NEW:lah

#3

FEE TRANSMITTAL

OIPE · MAY 16 2002 · PATENT & TRADEMARK OFFICE · JC184

Total Amount of Payment $ 1281

METHOD OF PAYMENT (Check One)

1. ☒ The Director is hereby authorized to charge any additional fee required under 37 C.F.R. § 1.16 and 1.17, including any petition fee, and credit any over payments to Deposit Account No. 23-1123. Westman, Champlin & Kelly, P.A.

2. ☒ PTO Form 2038 Enclosed *(2 forms)*

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		
Fee Code	Fee ($)	Fee Code	Fee ($)	Fee Description
101	740	201	370	☒ Utility Filing Fee
106	330	206	165	☐ Design Filing Fee
108	740	208	370	☐ Reissue Filing Fee
114	160	214	80	☐ Prov. Filing Fee

Subtotal (1) $ 370

2. EXTRA CLAIM FEES

	Number Claims	Prior**	Extra	Fee from Below	Fee Paid
Total	18	20	0	9	0
Indep.	6	3	3	42	126

Multiple Dependent Claims

** Insert 3 and 20, or number previously paid if greater; Reissue see below

Large Entity		Small Entity		
Fee Code	Fee ($)	Fee Code	Fee ($)	Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple Dependent Claims
109	84	209	42	Reissue Independent Claims over Original Patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

Subtotal (2) $ 126

FEE CALCULATION (Continued)

3. ADDITIONAL FEES

Large Entity		Small Entity			
Fee Code	Fee ($)	Fee Code	Fee ($)	Fee Description	Fee Paid
105	130	205	65	Surcharge - Late filing fee or oath	65
127	50	227	25	Surcharge - Late provisional Filing Fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For Filing a Request for Reexamination. (ex parte)	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	720
128	1,960	280	980	Extension for reply within fifth month	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
148	110	248	55	Terminal Disclaimer Fee	
140	110	240	55	Petition to Revive - unavoidable	
141	1,310	241	670	Petition to Revive - unintentional	
142	1,310	242	670	Utility/Reissue issue fee (inc. advance copies)	
143	490	243	260	Design issue fee (inc. advance copies)	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	

Other Fee (specify) _____

Subtotal (3) $785

Signature _(Nicklas E. Westman)_

Date 5/13/02

Reg. No. 20,147

Deposit Account No. 23-1123

OIPE
MAY 16 2002

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/977,050	10/12/2001	David Ellis	S85.12-0001

CONFIRMATION NO. 1800
FORMALITIES LETTER

WESTMAN, CHAMPLIN & KELLY, P.A.
International Center
Suite 1600
900 Second Avenue South
Minneapolis, MN 55402-3319

OC000000007062874

Date Mailed: 11/14/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
  Applicant must submit $ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is $252.
  - $252 for 3 independent claims over 3 .
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(I) of $130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is $ 1122.**

A copy of this notice MUST be returned with the reply.

KRAYSON

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

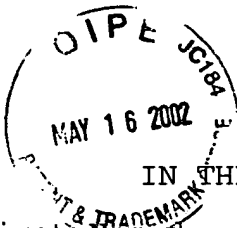05/17/2002 SFELEKE1 00000045 09977050
01 FC:201   370.00 OP
02 FC:205   65.00 OP

05/20/2002 ZJUHAR1 00000064 231123 09977050
01 FC:202   126.00 CH

#7

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named
Inventor   : David Ellis et al.

Appln. No.: 09/977,050

Filed   : October 12, 2001 | Group Art Unit:

For   : INTEGRATIVE RISK MANAGEMENT | Examiner:
              SYSTEM AND METHOD

Docket No.: S85.12-0001

LETTER TO OFFICIAL DRAFTSPERSON

Commissioner for Patents
Washington, D.C. 20231

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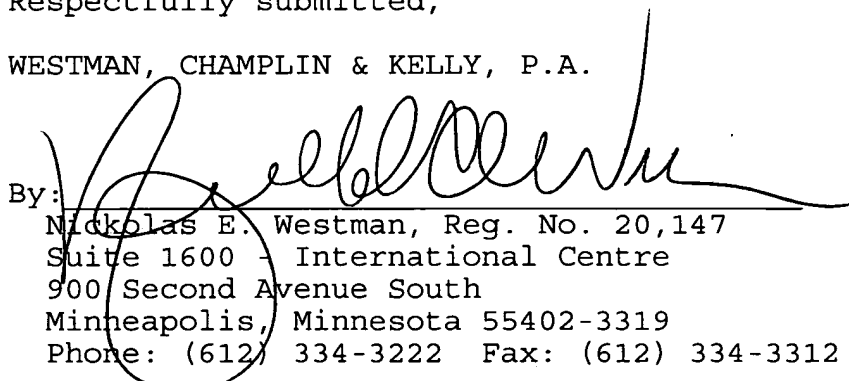
1__ DAY OF May , 2002

_____
PATENT ATTORNEY

Sir:

Enclosed are **two** (2) sheets of formal drawings for filing in the above-identified application.

Respectfully submitted,

WESTMAN, CHAMPLIN & KELLY, P.A.

By: _____
Nickolas E. Westman, Reg. No. 20,147
Suite 1600 - International Centre
900 Second Avenue South
Minneapolis, Minnesota 55402-3319
Phone: (612) 334-3222 Fax: (612) 334-3312

NEW:lah